DOCUMENT RESUME

ED 025 535 TE 500 216

By- Gentry, Robert E.
Planning, Submitting and Administering Grants and Contracts.
Association of Departments of English, New York, N.Y.
Pub Date Oct 68
Note- 6p.
Journal Cit- ADE Bulletin; n19 p30-35 Oct 1968
EDRS Price MF-$0.25 HC-$0.40
Descriptors- Administrative Problems, Administrator Responsibility, Educational Finance, *English, *Financial Needs, Financial Support, *Grants, *Higher Education, *Program Proposals, Research Proposals

An introductory discussion of the financial needs of college departments of English and sources of financial aid is followed by suggestions on how to plan, submit, and administer grants and contracts. The steps which should be taken to find sources of support, prepare a definitive proposal, and obtain final approval are discussed. Also discussed are factors considered by sponsors in reviewing proposals and the importance of conditions which may be attached to a contract. (BN)

ADE BULLETIN Number 19 October 1968

Planning, Submitting and Administering Grants and Contracts

ED025535

By Robert E. Gentry, Director
Office For Research Contracts, Harvard University

When Mr. Shugrue invited me to talk to you, I was pleased but also concerned about the extent of our mutual interests. I have since come to the conclusion that our mutual interests should be explored and perhaps they can also be expanded. I sense a separateness among the humanists and others in the university community brought about by the varying extent to which outside financial support is available to the various disciplines within the university. I think separateness of disciplines within a university is particularly bad since the sum total of a university should be more than the total of its separate parts. Mr. Shugrue has asked if I would speak on procedures for planning, submitting and administering grants and contracts. I would like to also examine what are some of the specific needs of English departments which are now not being met by available resources.

Planning is listed first in the subjects to be discussed. Before plans can be developed, however, a specific and well-defined need must be identified and formulated. It is just not possible to develop plans to be responsive to a vaguely and perhaps poorly defined problem. What <u>are</u> the financial needs of departments of English? In trying to answer this question for myself, I spoke with several of my colleagues at Harvard. Let me read a composite list of needs which I was able to identify.

1. Additional funds for faculty salaries. Particularly the junior faculty salaries for the academic year need to be increased, and also there need to be funds available to provide time for research in the summer for all levels of faculty. In this way, the faculty member would not be required to seek summer employment outside his field or always teach in the summer school. If such funds were provided, then the English faculty would be on a par with the science faculty which generally has outside funds available for summer supplemental salaries.

2. Additional faculty, both at the junior and senior level. This second need is tied in very closely with the first need mentioned. If salary levels could be increased, it is safe to assume that additional faculty would become available. An administrative decision would also have to be made to hire the additional faculty to take care of the growing number of students and also in some cases to adjust teaching loads.

3. It seems in certain areas there is a need for additional secretarial and typing assistance. In English departments, such personnel are only available if their salaries can be met from the general budget of the English department. In other areas of the University where outside funds are available, such personnel are often reimbursed from contracts and grants.

4. Office space to meet with students is lacking. This problem is probably not unique to the humanists.

5. Probably the most pressing need expressed was for funds to help graduate students in completing their education. I understand that graduate students in English, on the average, take a very long time to complete their doctoral requirements, and that this arises because the students are required to work while going to school and their rate of progress is accordingly slowed. I recall my own days as a freshman at the University of Illinois studying rhetoric under a very able graduate student. I am sure my instructor had a difficult

TE 500 216

"PERMISSION TO REPRODUCE THIS COPYRIGHTED MATERIAL HAS BEEN GRANTED BY Association of Departments of English TO ERIC AND ORGANIZATIONS OPERATING UNDER AGREEMENTS WITH THE U.S. OFFICE OF EDUCATION. FURTHER REPRODUCTION OUTSIDE THE ERIC SYSTEM REQUIRES PERMISSION OF THE COPYRIGHT OWNER."

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
OFFICE OF EDUCATION

THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL OFFICE OF EDUCATION POSITION OR POLICY.

© Association of Departments of English, 196

time grading papers and correcting themes while at the same time completing course work, writing a dissertation, and maybe even carrying on "spousely" duties.

6. Funds to support visiting professors and those on sabbatical leave. Many faculty members cannot afford, without supplemental income, to take a sabbatical leave which provides only half-pay for one year. This is an area of need, however, which is being met by several Foundations, such as the Guggenheim Foundation.

7. Funds are needed to assist in the publication of books which although valuable may not have a wide commercial appeal.

After the need has been identified, possible sources of support need to be considered. I think it is obvious that certain of the needs which I have listed would not normally be met from outside sources. For example, higher salaries for junior faculty would follow a policy change at a high level within the university. Also it is difficult to imagine at this time what outside source might supply funds for additional faculty to adjust teaching loads. After identifying the need as one which may possibly be of interest to an outside sponsor, the right sponsor must be found. A source book for private foundations is The Foundation Directory published by the Russell Sage Foundation. This directory, Edition 3, includes information about 6,803 whose assets total nearly twenty billion dollars and whose annual grants exceed 1.2 billion. The Foundations are not evenly distributed throughout the United States. In terms of assets and grants, approximately one-half of the Foundation activity is in the state of New York. This would follow since the Ford Foundation is located in New York City. The Ford Foundation's assets alone exceed 3 billion dollars. The Foundation Directory has three indices, one by fields of interest, one by persons, and one by the Foundations themselves.

Although it may not seem so at times, the Federal Government does provide support for projects in the Humanities. I am sure you are all aware of the National Endowment for the Humanities, which was established in 1965. The term Humanities as defined in the Act includes the study of language, linguistics, literature, history, jurisprudence, philosophy, archaeology, the history, criticism, theory and practice of the arts and those aspects of the social sciences which have humanistic content and employ humanistic methods. Stated in another way, Humanities include all the branches of learning emanating from human experience as they are recorded in all the languages, the literature, and the recovered and recoverable artifacts of the past. Humanities pertain to man's efforts to know and improve himself. This seems to me like a very good and broad definition of Humanites. Let me list some categories of proposals which the National Endowment for the Humanities has advised they would like to support in the next fiscal year:

Proposals that aim at new at new interpretations or synthesis of old or recovered humanistic knowledge.

Proposals for scholarly writing in the Humanities, including biography with a scholarly editing of the papers and texts of great Americans and others, and for the translation of important humanistic and literary works into English.

Proposals for production of scholarly humanistic tools such as bibliographies, concordances and indices.

Proposals for the development of techniques including modern machines and systems

in humanistic scholarship, such as the computer.

Proposals for the interchange of humanistic information, concepts or techniques through the organization of scholarly conferences.

Proposals for travel to attend professional meetings.

The National Endowment for the Humanities has indicated it will not consider proposals for the publishing of books, for library or museum acquisitions, or for the support of scholarly journals. A relatively small amount is available during the 1969 fiscal year to support the Division of Research and Publication of the National Endowment for the Humanities. I understand that $47.5 million will be made available for the National Foundation on the Arts and Humanities for the two fiscal years 1969 and 1970. With very little basis for this prediction, I am nevertheless of the opinion that the National Endowment for the Humanities will grow and someday become a very significant source of support for projects in the Huamnities. Another possible source of support is the U.S. Office of Education, Bureau of Research, Arts and Humanites Program. This office was recently strengthened to assume a greater responsibility with respect to education in the Humanities. In fiscal year 1966, $2.4 million was expended by this program. Certain limited funds were also available in the National Defense Education Act, mostly for fellowships. A limited amount of fellowship funds is now available from various other Government agencies. This list is not intended to be exhaustive. However, it does indicate that sources do exist for support of projects in the Humanities. I suspect that outside funds are often not located because of a lack of aggressiveness rather than a lack of sources. It occurs to me that the same traits and characteristics which make a person go into the Humanities are not the same traits and characteristics which motivate one to seek in an aggressive way financial support.

After financial need has been identified and clearly defined and a possible outside source of funds has been selected, a definitive proposal must be prepared. Some Foundations and Government agencies have rather precise requirements for proposals. Some in fact will even require that the proposal be prepared on forms supplied by the Agency. Most outside sources allow some flexibility in the preparation of the proposal but generally want the following information included in some form. The proposal should include a title and brief description of the project; a detailed technical description of the research problem; a listing of facilities and other resources available to help in working on the problem; if the proposed sponsor has a very specific objective for its existence, then the proposal should explain how the project will assist the sponsor in fulfilling its objectives; a biography of the principal investigator, including a list of previous publications bearing on the subject; and, of course, the proposal should include a detailed budget supporting the request for a specific amount of funds. After a proposal has been prepared in draft form, help can often be obtained from other faculty members in your department. Some departments have research committees whose function include providing assistance to people preparing proposals. Such assistance would usually be limited to offering comments on the draft proposal. Normally, the department chairman will be involved at an early stage in the preparation of the proposal. The proposal must have the department chairman's approval and support before it is submitted to the Dean of the faculty for approval. In approving a proposal for formal submission, the Dean of the faculty needs assurances regarding following matters:

1) Availability of space. The Dean must know that adequate space is available within the department to accomodate the project, especially if it involves hiring additional personnel.

2) Commitment of University resources. Is the budget adequate for the program which has been planned? It may be that there are hidden costs in connection with the program which may not have been anticipated and if the project is supported by the sponsor will involve expenditure of University funds. I recall a situation where a proposal was approved and a grant later accepted which provided funds for the purchase of a large piece of scientific equipment. It was later discovered that an area of a building had to be completely remodeled, including various utility extensions, before the equipment could be installed. A substantial amount of University funds was then required before the outside funds could be accepted. This situation arose because the Dean did not adequately review the proposal.

3) Effect on teaching loads. Naturally, the Dean will want to know if the principal investigator or other faculty will require released time in order to carry out the project. If released time is required, then the question must be answered regarding who will carry on the teaching responsibilities previously assumed by the faculty members who are given released time. This same type of question must be answered whenever a sabbatical leave is granted.

4) The worthwhile nature of the project. The Dean must be assured that the project will bring credit to the faculty and be consistent with the university's overall objectives. In my experience, I don't recall a single case where the Dean refused to approve a proposal because it was not of a sufficiently high level nature. Academic freedom would normally permit a faculty member to seek funds for the support of any project in which he is interested.

5) Indirect costs. It has become fairly well established and understood among members of the academic community that all of the costs of a project may not be identified and thus charged directly to the project. Most universities have negotiated and have established an indirect cost rate which is used to reimburse the university for such costs that cannot be identified specifically with projects. This rate is normally negotiated with some agency of the Federal Government and is usually a percentage of salaries and wages. In some cases, the percentage is applied to the total direct costs of the project. The Dean will have a particular interest in whether indirect costs are included in the budget, especially if a portion of the indirect costs are returned to him for use as a general resource for his budget.

After the proposal has been approved by the Dean, it should go to a central university office for final approval and formal submission to the sponsor. The central office is normally concerned that the budget is adequate and correct and that the necessary approvals of the department head and Dean have been obtained. A review is also made to determine if all the requirements of the sponsor have been met. Before the proposal is finally submitted, someone, either the Dean or a central university officer, will determine what the commitments of the university are to continue the project after the support from the sponsor has been exhausted. Many sponsors, including agencies of the Federal Government, like to use their funds as "seed money" to get worthwhile projects established to be continued on an indefinite basis by the university. Certain proposals must, for reasons of the sponsor, include a commitment by the university to match on a percentage basis the support furnished by the sponsor. This arrangement is sometimes referred to as cost-sharing. At the present time, all agencies of the Federal Government which make grants are required to make such grants in an amount which will not cover the entire cost of the project. The minimum university contribution which is expected is usually 5% and can easily be met if the institution's policy is not to request reimbursement for the value of the senior faculty

member's effort devoted to the project during the academic year. If the university has a policy of attempting to recover all of the identifiable direct costs, it may be forced into reducing its indirect cost reimbursement.

When a proposal is received by a sponsor, a review process must be initiated and completed before support of the project is offered or declined. Some sponsors rely on internal committees for a decision. Other sponsors call upon consultants or outside review panels for assistance in making a decision. The National Science Foundation, for example, forwards each proposal to many persons knowledgeable in the field covered by the proposal and later averages the various ratings given by the reviewers and after considering the availability of funds, accepts or rejects the proposal. In certain cases, when funds are limited, a sponsor may offer a lesser amount than requested to support the project. In such event, the university must either come up with additional funds from other sources or scale down the project to fit the available resources.

I don't claim to be an expert in the steps taken and considerations given by sponsors in reviewing proposals because I have always been on the other side of the fence. The following list of possible considerations seem to me, however, the kinds of things sponsors think about before making a decision:

1) The proposed project must surely be consistent with the purpose of the sponsor. This seems almost too obvious to mention. Depending upon the amount of funds available for making grants and the number of good proposals being reviewed by the sponsor, the objectives of the sponsor may be considered in a very narrow way or broadly. I recall a period when the Public Health Service was appropriated more funds than it had requested from the Congress. I am sure that many more projects were considered as related to public health during that period when such large amounts of funds were available.

2) The geographic location of the proposer may affect the proposer's chance of receiving a grant. Some sponsors prefer to make funds available for projects which are located in their immediate vicinity. Other sponsors, which are usually large, including Federal agencies, may want to distribute grants on a wide geographic basis. This means, of course, that very good proposals may be declined because they are not from the right geographic locations.

3) The sponsor may very well be interested in whether the project will be continued after the immediate support has been exhausted. This, of course, will depend upon the nature of the project; that is, whether it is intended to cover a discreet period of time or to be the beginning of an activity to be continued indefinitely.

4) It may be that the sponsor will require a certain amount of cost-sharing by the university. Thus, if the university is willing to commit some of its own funds to a project, the sponsor may more nearly be convinced that the project is worthwhile or at least that the university thinks it is.

5) The amount of funds which is requested may be an important consideration. If a particular Foundation has a history of making, say for example, fifty grants averaging $10,000 each, there would be little chance of obtaining one grant for $100,000 On the other hand, I feel that certain agencies of the Federal Government would decline to support a proposal if it were too modest in its needs.

6) I believe proposals should usually be written so as to emphasize the general and public benefits to be derived from the project, although there are some sponsors which provide funds for fellowships and other support of a personal nature.

It may seem that my story should end after a decision has been reached by the sponsor to accept or reject the proposal. However, the conditions attached to a grant or contract must be carefully reviewed by the university before a grant or contract is formally accepted. Considerations such as a confidentiality of a project and whether or not the principal investigator has complete freedom to publish must be reviewed very carefully. A great deal of time and effort of many persons, including myself, is spent in improving the terms and conditions attached to contracts and grants, especially with the Federal Government. Once a project has been approved and the contract or grant entered into, the administering of it merely involves being responsive to the needs of the principal investigator, the policies and procedures of the university and the conditions imposed by the sponsor. Much of the administration is mechanical; that is, establishing an accounting entity to which to accumulate the expenditures of the project, reviewing the various charges to see that they are proper, and obtaining cash from the sponsor to cover the project costs. The rest of the administration involves the peculiar circumstances of the particular project and the extent to which the principal investigator needs guidance or assistance. Some project directors have been in the business of receiving grants for such a long period that they are old pros and require little if any assistance. On the other hand, newer staff members may require more help.

In closing, I would like to leave you with three unrelated, although somewhat encouraging observations:

1) The current unmet financial needs of the humanities, although substantial, are not large when viewed in relation to the requirements of others in the academic community. The nature of the humanists' work does not require expensive equipment nor large supporting staffs.

2) The problems and frustrations of the medical, physical, and social scientists are not all solved by the availability of outside financial support; in fact, such outside support is the cause of some of their problems and frustrations. Many of the scientists who are heading up large research teams must on occasion dream fondly of getting back to their laboratories and ridding themselves of the administrative and leadership responsibilities.

3) It does seem that the Federal Government is beginning to recognize the financial needs of the humanities. Their source of support should increase in the future.

As I was finishing a draft of these remarks, my wife dropped in to my office and read over the three points I have just mentioned. Her impressions were not the same as I attempted to convey to you. She said, "It seems to me that you are saying 1. Humanists really don't need very much, 2. Others who have plenty often wish they didn't have it, and 3. Don't worry, the Government will be taking care of you pretty soon anyway."

I would like to finish with a serious thought, and that is, I believe that all of us who are not humanists, at least in the formal academic sense, recognize that continued and expanded study and support of the humanities is essential to our introspective curiosity and moral growth.

ADE BULLETIN of the Association of Departments of English
Chairmen of Departments of English in American Colleges and Universities

Number 19 October 1968